

IN THE CLAIMS:

1. (Currently Amended) A data processing system for managing broker transaction information in compliance with governmental regulations, comprising:

(a) computer processor means for processing data;

(b) storage means for storing said data on a storage medium;

5 (c) communication means for transmitting and receiving data in a secure environment to and from various remote locations;

(d) first computer software means for creating trade data concerning particular trades to be executed and not being settled in the form of trade records, and means for monitoring the modification of trade data in respective trade records which are created by said first computer software means, said means for monitoring including an output audit report,

(e) second computer software means for reviewing said trade data from said first computer software means, and for approving/disapproving of the trade records to be executed and not being settled; and

15 (f) third computer software means for maintaining security measures for said data processing system to prevent unauthorized access and use of said trade data.

2. (Original) A data processing system, as claimed in Claim 1, wherein said first computer software means further comprises:

means for inputting and storing on said storage means system information.

3. (Canceled) ✓

4. (Original) A data processing system, as claimed in Claim 1, further including:

means for monitoring log-ins to said data processing system.

5. (Original) A data processing system, as claimed in Claim 1, further comprising:

D' means for monitoring the activity of a particular broker representative who enters trade data through said first computer software means.

6. (Original) A data processing system, as claimed in Claim 1, further including:

means for outputting information regarding a particular trade.

7. (Original) A data processing system, as claimed in Claim 1, further including:

means for creating and outputting daily trade blotter information.

8. (Original) A data processing system, as claimed in Claim 1, further including:

means for creating and outputting checks/securities blotters.

9. (Original) A data processing system, as claimed in Claim 1, further including:

means for creating and outputting buy and sell tickets.

10. (Original) A data processing system, as claimed in Claim 1, further including:

means for creating and outputting client activity logs.

11-12. (Canceled)

13. (Currently Amended) A method of managing and processing broker transaction data, said method comprising the steps of:

inputting broker transaction data on a broker computer of a data processing system reflective of a trade of a security to be executed and not being settled ~~of a security~~;

forwarding the broker transaction data to a main computer having a main database;

recording the transaction data on the main database in the form of an original trade record to be executed and not being settled;

forwarding the original trade record to a branch manager's computer for
10 approval/rejection of the original trade record by the branch manager;

returning the original trade record to the main database indicating
approval/rejection by the branch manager; and

returning the approved/rejected original trade record to the broker computer for
evaluation by the broker representative;

15 wherein said method takes place in the data processing system, and said
transaction data and said trade record are manipulated electronically.

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14. (Original) A method, as claimed in Claim 13, wherein:

transfer of the transaction data and the trade record is conducted in a secure
environment by encryption and decryption.

15. (Original) A method, as claimed in Claim 13, further including the step
of:

changing an element of data on the original trade record;

recording the change of data in the original trade record; and

5 creating a display in the form of a comparative report showing the original trade
record, and the original trade record as amended with the changed data element.

16. (Original) A method, as claimed in Claim 13, further including the steps
of:

managing a plurality of trade records by said inputting, forwarding, recording,
second forwarding, returning, and second returning steps; and

5 creating an output reflective of the plurality of trade records in the form of a
desired report.

17. (Original) A method, as claimed in Claim 16, wherein said desired report
is a daily trade blotter.

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18. (Original) A method, as claimed in Claim 16, wherein:
said desired report is a check/securities received blotter.

19. (Original) A method, as claimed in Claim 16, wherein:
said desired report is in the form of a buy and sell ticket.

20. (Original) A method, as claimed in Claim 16, wherein:
said desired report is in the form of a client activity log.

21. (Original) A method, as claimed in Claim 16, wherein:
said desired report is in the form of a trade audit report.

22. (Original) A method, as claimed in Claim 13, further including the steps
of:
inputting authentication data to gain authority to access the data processing system
including a password, user ID, and system ID; and
verifying the authentication data to determine access to the data processing
system.

23. (Original) A method, as claimed in Claim 21, further including the step
of:
creating an output in the form of a log-ins report reflective of log-ins made to the
data processing system.

24. (Currently Amended) A method of processing and monitoring broker
transaction data in the form of e-mail messages sent to a broker representative, said
method comprising the steps of:

receiving an incoming e-mail message from a party requesting a trade of a security
5 to be executed and not being settled, the e-mail message being received on a broker
computer of a data processing system;

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forwarding the received e-mail message to a main server computer, and recording the e-mail message on a main database of the main computer;

forwarding the e-mail message to a branch manager's computer of the data processing system;

signifying approval/rejection of the e-mail message by a branch manager operating the branch manager's computer;

returning the approved/rejected e-mail message to the main database of the main computer;

recording the status of the approved/rejected e-mail message in the main database;

returning the e-mail message to the broker representative computer for review by the broker representative; and

creating an output in the form of a compliance report reflective of rejected e-mail messages.

25. (Previously Presented) A method, as claimed in Claim 24, wherein:

said forwarding and returning steps are achieved by secure electronic transmission using encryption and decryption.

26. (Currently Amended) A method of processing and monitoring broker transaction data in the form of e-mail messages sent from a broker representative to a client, said method comprising the steps of:

creating and recording an e-mail message, concerning a trade of a security to be
5 executed and not being settled, on a local database of a broker computer of a data
processing system;

forwarding the created e-mail message to a main server computer, and recording
the e-mail message on a main database of the main computer;

forwarding the e-mail to a branch manager's computer of the data processing
10 system;

signifying approval/rejection of the e-mail message by a branch manager
operating the branch manager's computer;

DI returning the approved/rejected e-mail message to the main database of the main
computer;

15 recording the status of the approved/rejected e-mail message in the main database;

returning the e-mail message to the broker representative's computer for review by
the broker representative; and

creating an output in the form of a compliance report reflective of rejected e-mail
messages.

27. (Original) A method, as claimed in Claim 26, wherein:

said forwarding and returning steps are achieved by secure electronic transmission
using encryption and decryption.

28. (Currently Amended) A data processing system for managing broker transaction information in compliance with governmental regulations, comprising:

(d) computer processor means for processing data;

(b) storage means for storing said data on a storage medium, said storage means including a main server database for storing data in the system;

(c) communication means for transmitting and receiving data in a secure environment to and from various remote locations, said communication means further including a transmission control protocol listener for facilitating communications, and for monitoring and updating the main server database and further wherein the transmission control protocol listener accepts data entry requests from users to store and retrieve data on the main server database;

(d) first computer software means for creating trade data concerning a particular trade to be executed and not being settled in the form of a trade record;

(e) second computer software means for reviewing said trade data, and for approving/disapproving of the trade record; and

(f) third computer software means for maintaining security measures for said data processing system to prevent unauthorized access and use of said data.

29. (Original) A data processing system, as claimed in claim 28, wherein said first computer software means further comprises:

means for inputting and storing on said storage means system information.

30. (Original) A data processing system, as claimed in claim 28, further comprising:

means for monitoring the modification of trade data in respective trade records which are created by said first computer software means.

31. (Original) A data processing system, as claimed in claim 28, further including:

means for monitoring log-ins to said data processing system.

DI 32. (Original) A data processing system, as claimed in claim 28, further comprising: means for monitoring the activity of a particular broker representative who enters trade data through said first computer software means.

33. (Original) A data processing system, as claimed in claim 28, further including:

means for outputting information regarding a particular trade.

34. (Original) A data processing system, as claimed in claim 28, further including:

means for creating and outputting daily trade blotter information.

35. (Original) A data processing system, as claimed in claim 28, further including:

means for creating and outputting checks/securities blotters.

36. (Original) A data processing system, as claimed in claim 28, further including:

means for creating and outputting buy and sell tickets.

37. (Original) A data processing system, as claimed in claim 28, further including:

means for creating and outputting client activity logs.

38. (Currently Amended) A method of managing and processing broker transaction data comprising the steps of:

providing a data processing system comprising a computer processor means for processing data, a storage means for storing said data on a storage medium,

5 communication means for transmitting and receiving data in a secure environment to and from various remote locations, a first computer software means for creating trade data concerning a particular trade to be executed and not being settled in the form of a trade record, a second computer software means for reviewing said trade data and for approving/disapproving of the trade record, and third computer software means for

10 maintaining security measures for the data processing system to prevent unauthorized access in use of the trade data;

entering and recording the trade data into a main server database of the storage means;

creating data files in the main server database corresponding to the entered trade data;

15 monitoring modifications made to the entered trade data residing in the respective data files; and

reporting the modifications made to the trade data in a display generated by the data processing system.

DI 39. (Original) A method, as claimed in claim 38, further including the step of: transmitting data within the data processing system by secure transmission means.

40. (Currently Amended) A method of managing and processing broker transaction data, said method comprising the steps of:

providing a data processing system including a computer processor means for processing data, storage means including a main server database for storing said data on a storage medium, and communication means for electronically transmitting and receiving data in a secure environment to and from various remote locations;

inputting broker transaction data by means of a first computer software means on a remote computer of the data processing system reflective of a trade of a security to be executed and not being settled;

10 forwarding the broker transaction data to a main computer communicating with the main server database;

recording the transaction data on the main server database in the form of an original trade record;

forwarding the original trade record to a second remote computer for review
15 facilitated by a second computer software means to include approval/rejection of the original trade record by a user of the second computer;

DI returning the original trade record to the main server database including an indication of the approval/rejection by the user of the second computer;

returning the approved/rejected original trade record to the first computer for
20 evaluation by the user of the first computer; and

wherein said transaction data and said trade record are manipulated electronically.

41. (Previously Presented) A method, as claimed in claim 40, wherein:
transfer of the transaction data and the trade record is conducted in a secure environment by encryption and decryption.

42. (Previously Presented) A method, as claimed in claim 40, further including the step of:

changing an element of data on the original trade record;

recording the change of data in the original trade record; and

5 creating a display in the form of a comparative report showing the original trade record, and the original trade record as amended with the changed data element.

43. (Previously Presented) A method, as claimed in claim 40, further including the step of:

creating an output reflective of the managing and processing of the broker transaction data wherein said output is in the form of a desired report.

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44. (Previously Presented) A method, as claimed in claim 40, further including the steps of:

managing a plurality of trade records by said inputting, forwarding, recording, second forwarding, returning, and second returning steps; and

5 creating an output reflective of the plurality of trade records in the form of a desired report.

45. (Previously Presented) A method, as claimed in claim 40, wherein said desired report is a daily trade blotter.

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46. (Previously Presented) A method, as claimed in claim 40, wherein:
said desired report is a check/securities received blotter.

47. (Previously Presented) A method, as claimed in claim 40, wherein:
said desired report is in the form of a buy and sell ticket.

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48. (Previously Presented) A method, as claimed in claim 40, wherein:
said desired report is in the form of a client activity log.